Electronic Form 4 Field Specifications

DRAFT Version 2, Effective 12/1/01

Medium

Commencing in April 2000, Form 4 will be submitted electronically via diskette or e-mail. Other mediums (such as FTP) will be considered in the future.

Character Set

US-ASCII (delimited)   See Note 1

File Format

<Record-1><return><linefeed>
<Record-2><return><linefeed>
 …

Record Format

<field-1>,<field-2>,…

Field Format

 "Text" (e.g. "CA" or "LOS ANGELES" or "0819512555" or "04")
<digits>[.<digits>] (e.g. 10000.00 or 0.00)
<date-with-four-digit-year> (e.g. 09/13/1999 or __/__/____)

Example

Version, Region, State, Field Office, Trustee Last Name, Trustee First Initial (with period), Trustee Code, Case Number, Case Name, Date Submitted, Date Closed, Gross Receipts, Exemptions, Excess Funds, etc....

as follows:

"1","14","CA","LOS ANGELES","TRUSTEE","J.","","1239512345","JAMES A. SMITH",12/15/1999,__/__/____,120000.00,560.12,0.00,etc….<CR><LF>

Field Assignments (See Note 2)

N = Numeric   A = Text, any character including dashes   D = Date

Field	Type/ Length	Description
1	A(3)	Version (This would be version 2.) See Note 3
2	A(2)	Region (e.g. "14" or "01") See Note 4
3	A(2)	State Code (e.g. "CA") See Note 5
4	A(30)	Field Office (uppercase) (e.g. "LOS ANGELES")
5	A(20)	Trustee Last Name (uppercase) (e.g. "TRUSTEE")
6	A(2)	Trustee First Initial (uppercase, with period) (e.g. "J.")
7	N(5)	Trustee Code, assigned by EOUST (e.g. " 5211") See Note 6
8	A(10)	Case Number (division/year/number) with no letters, dashes or spaces) (e.g. "0819512345") See Note 7
9	A(40)	Case Name (uppercase) (e.g. "SMITH, JAMES A." or "JAMES A. SMITH")
10	D(10)	Date Submitted – (e.g. 12/15/1999) See Note 8
11	D(10)	Date Closed – (e.g., 01/15/2000) This will be blank (__/__/____) in the version submitted by the trustee. See Note 9
If any of the following fields is zero, it should be reported as 0.00		
12	N(13,2)	Gross Receipts (e.g. 1234567890.12)
13	N(13,2)	Exemptions
14	N(13,2)	Excess Funds
15	N(13,2)	Funds Paid to 3rd Parties
16	N(13,2)	Secured: Real Estate (Claims)
17	N(13,2)	Secured: Real Estate (Paid)
18	N(13,2)	Secured: Personal Property & Intangibles (Claims)
19	N(13,2)	Secured: Personal Property & Intangibles (Paid)
20	N(13,2)	Secured: IRS Tax Liens (Claims)
21	N(13,2)	Secured: IRS Tax Liens (Paid)
22	N(13,2)	Secured: Other Governmental Tax Liens (Claims)
23	N(13,2)	Secured: Other Governmental Tax Liens (Paid)
24	N(13,2)	Ch. 7 Admin: Trustee Fees (Claims)
25	N(13,2)	Ch. 7 Admin: Trustee Fees (Paid)
26	N(13,2)	Ch. 7 Admin: Trustee Expenses (Claims)
27	N(13,2)	Ch. 7 Admin: Trustee Expenses (Paid)
28	N(13,2)	Ch. 7 Admin: Trustee's Firm Legal Fees (Claims)
29	N(13,2)	Ch. 7 Admin: Trustee's Firm Legal Fees (Paid)
30	N(13,2)	Ch. 7 Admin: Trustee's Firm Legal Expenses (Claims)
31	N(13,2)	Ch. 7 Admin: Trustee's Firm Legal Expenses (Paid)
32	N(13,2)	Ch. 7 Admin: Other Firm's Legal Fees (Claims)

Field	Type/Length	Description
33	N(13,2)	Ch. 7 Admin: Other Firm's Legal Fees (Paid)
34	N(13,2)	Ch. 7 Admin: Other Firm's Legal Expenses (Claims)
35	N(13,2)	Ch. 7 Admin: Other Firm's Legal Expenses (Paid)
36	N(13,2)	Ch. 7 Admin: Trustee's Firm Accounting Fees (Claims)
37	N(13,2)	Ch. 7 Admin: Trustee's Firm Accounting Fees (Paid)
38	N(13,2)	Ch. 7 Admin: Trustee's Firm Accounting Expenses (Claims)
39	N(13,2)	Ch. 7 Admin: Trustee's Firm Accounting Expenses (Paid)
40	N(13,2)	Ch. 7 Admin: Other Firm's Accounting Fees (Claims)
41	N(13,2)	Ch. 7 Admin: Other Firm's Accounting Fees (Paid)
42	N(13,2)	Ch. 7 Admin: Other Firm's Accounting Expenses (Claims)
43	N(13,2)	Ch. 7 Admin: Other Firm's Accounting Expenses (Paid)
44	N(13,2)	Ch. 7 Admin: Real Estate Commissions (Claims)
45	N(13,2)	Ch. 7 Admin: Real Estate Commissions (Paid)
46	N(13,2)	Ch. 7 Admin: Auctioneer/Liquidator Fees (Claims)
47	N(13,2)	Ch. 7 Admin: Auctioneer/Liquidator Fees (Paid)
48	N(13,2)	Ch. 7 Admin: Auctioneer/Liquidator Expenses (Claims)
49	N(13,2)	Ch. 7 Admin: Auctioneer/Liquidator Expenses (Paid)
50	N(13,2)	Ch. 7 Admin: Other Professional Fees/Expenses (Claims)
51	N(13,2)	Ch. 7 Admin: Other Professional Fees/Expenses (Paid)
52	N(13,2)	Ch. 7 Admin: Expenses of Operating Business in Chapter 7 (Claims)
53	N(13,2)	Ch. 7 Admin: Expenses of Operating Business in Chapter 7 (Paid)
54	N(13,2)	Ch. 7 Admin: Other Expenses (Claims)
55	N(13,2)	Ch. 7 Admin: Other Expenses (Paid)
56	N(13,2)	Ch. 7 Admin: Income Taxes – IRS (Claims)
57	N(13,2)	Ch. 7 Admin: Income Taxes – IRS (Paid)
58	N(13,2)	Ch. 7 Admin: Other State or Local Taxes (Claims)
59	N(13,2)	Ch. 7 Admin: Other State or Local Taxes (Paid)
60	N(13,2)	Ch. 7 Admin: U.S. Trustee Fees (Claims)
61	N(13,2)	Ch. 7 Admin: U.S. Trustee Fees (Paid)
62	N(13,2)	Ch. 7 Admin: Court Costs (Claims)
63	N(13,2)	Ch. 7 Admin: Court Costs (Paid)
64	N(13,2)	Prior Chapter Admin: Trustee Fees (Claims)
65	N(13,2)	Prior Chapter Admin: Trustee Fees (Paid)
66	N(13,2)	Prior Chapter Admin: Trustee Expenses (Claims)
67	N(13,2)	Prior Chapter Admin: Trustee Expenses (Paid)
68	N(13,2)	Prior Chapter Admin: Trustee's Firm Legal Fees (Claims)
69	N(13,2)	Prior Chapter Admin: Trustee's Firm Legal Fees (Paid)
70	N(13,2)	Prior Chapter Admin: Trustee's Firm Legal Expenses (Claims)
71	N(13,2)	Prior Chapter Admin: Trustee's Firm Legal Expenses (Paid)
72	N(13,2)	Prior Chapter Admin: Other Firm's Legal Fees (Claims)
73	N(13,2)	Prior Chapter Admin: Other Firm's Legal Fees (Paid)
74	N(13,2)	Prior Chapter Admin: Other Firm's Legal Expenses (Claims)

Field	Type/ Length	Description
75	N(13,2)	Prior Chapter Admin: Other Firm's Legal Expenses (Paid)
76	N(13,2)	Prior Chapter Admin: Trustee's Firm Accounting Fees (Claims)
77	N(13,2)	Prior Chapter Admin: Trustee's Firm Accounting Fees (Paid)
78	N(13,2)	Prior Chapter Admin: Trustee's Firm Accounting Expenses (Claims)
79	N(13,2)	Prior Chapter Admin: Trustee's Firm Accounting Expenses (Paid)
80	N(13,2)	Prior Chapter Admin: Other Firm's Accounting Fees (Claims)
81	N(13,2)	Prior Chapter Admin: Other Firm's Accounting Fees (Paid)
82	N(13,2)	Prior Chapter Admin: Other Firm's Accounting Expenses (Claims)
83	N(13,2)	Prior Chapter Admin: Other Firm's Accounting Expenses (Paid)
84	N(13,2)	Prior Chapter Admin: Real Estate Commissions (Claims)
85	N(13,2)	Prior Chapter Admin: Real Estate Commissions (Paid)
86	N(13,2)	Prior Chapter Admin: Auctioneer/Liquidator Fees (Claims)
87	N(13,2)	Prior Chapter Admin: Auctioneer/Liquidator Fees (Paid)
88	N(13,2)	Prior Chapter Admin: Auctioneer/Liquidator Expenses (Claims)
89	N(13,2)	Prior Chapter Admin: Auctioneer/Liquidator Expenses (Paid)
90	N(13,2)	Prior Chapter Admin: Other Professional Fees/Expenses (Claims)
91	N(13,2)	Prior Chapter Admin: Other Professional Fees/Expenses (Paid)
92	N(13,2)	Prior Chapter Admin: Income Taxes – IRS (Claims)
93	N(13,2)	Prior Chapter Admin: Income Taxes – IRS (Paid)
94	N(13,2)	Prior Chapter Admin: Other State or Local Taxes (Claims)
95	N(13,2)	Prior Chapter Admin: Other State or Local Taxes (Paid)
96	N(13,2)	Prior Chapter Admin: Operating Expenses (Claims)
97	N(13,2)	Prior Chapter Admin: Operating Expenses (Paid)
98	N(13,2)	Prior Chapter Admin: Other Expenses (Claims)
99	N(13,2)	Prior Chapter Admin: Other Expenses (Paid)
100	N(13,2)	Priority: Wages 507(a)(3) (Claims)
101	N(13,2)	Priority: Wages 507(a)(3) (Paid)
102	N(13,2)	Priority: Contributions: Employee Benefit Plans 507(a)(4) (Claims)
103	N(13,2)	Priority: Contributions: Employee Benefit Plans 507(a)(4) (Paid)
104	N(13,2)	Priority: Alimony & Child Support 507(a)(7) (Claims)
105	N(13,2)	Priority: Alimony & Child Support 507(a)(7) (Paid)
106	N(13,2)	Priority: Claims of Governmental Units 507(a)(8) (Claims)
107	N(13,2)	Priority: Claims of Governmental Units 507(a)(8) (Paid)
108	N(13,2)	Priority: Other 507(a)(2), (5), (6), and (9) (Claims)
109	N(13,2)	Priority: Other 507(a)(2), (5), (6), and (9) (Paid)
110	N(13,2)	General Unsecured (Claims)
111	N(13,2)	General Unsecured (Paid)
112	D(10)	Date Filed or Converted to Chapter 7 (e.g. 12/15/1999) See Note 10.

Notes

1) A delimited file is an ASCII text file in which each record ends with a carriage return and linefeed. The separator is a comma. Since character data may include commas, character fields are additionally delimited with double quotation marks (e.g. "CA" or "LOS ANGELES").

2) We did not include any fields that can be calculated from existing data fields. Fields like Net receipts, Total Secured Claims, and Percent of Receipts.

3) Field 1 – Version: describes the Specification Version which will be useful when fields are added/removed later, so files received from various versions can still be processed. This is Version 2 effective 12/1/2001.

4) Field 2 – Region: This is a two-digit character field. Examples: "01", "02", "11", "12".

5) Field 3 – State: The two-character abbreviation for the State in which the case was filed. This State may differ from the State(s) where the chapter 7 trustee or United States Trustee office is located. For example, the State Code for a case filed in North Dakota is "ND", even though the trustee and United States Trustee office are physically located in South Dakota.

6) Field 7 - Trustee Code: This code was implemented in March 2001. It is available from the EOUST and local field offices, and should be entered by the trustee prior to submitting the electronic Form 4.

7) Field 8 – Case Number: To prepare for electronic filing of trustee data, electronic case filing, and the linkage of data from different databases, a uniform format for the case number has been adopted. It contains the division, year, and five-digit number, in the following format: 0810112345. This format is included in both the court's and United States Trustee Program's systems.

8) Field 10 – Date Submitted: The date that the trustee submits Form 4 to the United States Trustee office.

9) Field 11 – Date Closed: This date is entered by the United States Trustee when the TDR is approved. It will be reported by the trustee as a blank field, as in __/__/____.

10) Field 112 – Date Filed or Converted to Chapter 7: The date that the case was filed under chapter 7 or converted to chapter 7. It is the same date that appears in Column 3 of Form 2.